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ABSTRACT

Each of the objectives of the Five Associated University Libraries (FAUL) is discussed in terms of the effort FAUL has made to attain them during the past twenty-six months. These are: (1) to develop coordinated acquisitions policies, (2) to develop means for sharing resources, (3) to develop shared storage facilities, (4) to develop easy and rapid communications systems among the membership, (5) to develop compatible machine systems, (6) to explore and develop other areas of cooperation, and (7) to develop a coordinated policy for long-range growth. Fiscal year 1970-71 will be decisive for FAUL, as it gropes for an identity. Embedded in this procedure is a continual testing of the limits which cooperative acts can reach and a concomitant gradual delineation of what each library's objectives are in joining together. (AB)

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Binghamton / Buffalo / Cornell / Rochester / Syracuse

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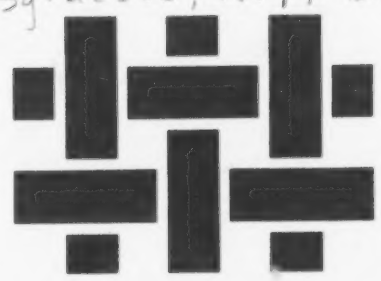

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(2)

TWO YEAR REPORT 1968-1970

LI 002 728

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TO: The Board of Directors, Five Associated University Libraries

Gentlemen:

I have the honor to submit my report of the Association's activities during the thirty-four months since the adoption of the Constitution and By-Laws on August 10, 1967.

PURPOSE OF FAUL

The purposes of the Association are stated in Article II of its Constitution as follows:

> Improve and develop cooperation among the Five Associated University Libraries.
>
> Work towards a *coordinated policy for long-range library growth* and development with *coordinated acquisitions policies, shared resources,* the *development of compatible machine systems,* provision of *easy and rapid communications systems among the membership,* the provision of *shared storage facilities,* and exploration of *other areas of cooperation.*
>
> Cooperate with other educational, library and research institutions and organizations inside and outside the geographical area to further the purposes of this Association.
>
> In pursuit of its purpose, this organization shall initiate, promote and support research studies and projects and operational systems and projects which may lead to a knowledge of available resources and services and provide the means for increased interlibrary cooperative plans and services among five member institutions.

ORGANIZATION AND ADMINISTRATION

To begin work toward attaining these objectives a budget was constructed from equal assessments by the membership, and a Coordinator and Administrative Assistant were hired in the Spring of 1968. During the intervening twenty-six months four task committees were appointed by the Board, comprised of representatives from each member library. The committees' names* and charges were:

> *Acquisitions Committee:* To determine areas of cooperation in acquisitions activities among FAUL members, and to study and recommend plans and procedures for promoting these cooperative efforts.
>
> *Access Committee:* To study, develop and recommend procedures for increasing the ease of access to FAUL holdings by its user populations. Investigations should emphasize cooperative activities in circulation control, intra-FAUL loans, and intra-FAUL information channels.

* *see list of committees on p. 16 of this report*

Special Collections Committee: To determine areas, procedures and projects for cooperation among FAUL members in special collections activities (e.g. rare books, archives, manuscripts, etc.).

Systems Committee: To work closely with the Coordinator to determine areas of technical cooperation; to investigate computer and other technologies for application in FAUL projects and operations; to coordinate and monitor task committees.

These committees, the central staff and other individuals set about a program of wide-ranging investigations in most of the areas prescribed by the Constitution.

OBJECTIVES AND ACTIVITIES

As the above italicized phrases in the excerpt from the FAUL Constitution indicate, seven areas of exploration were specifically mandated as organizational objectives:

I. *To develop coordinated acquisitions policies*

II. *To develop means for sharing resources*

III. *To develop shared storage facilities*

IV. *To develop easy and rapid communications systems among the membership*

V. *To develop compatible machine systems*

VI. *To explore and develop other areas of cooperation*

VII. *To develop a coordinated policy for long-range growth.*

Each of these objectives is discussed below in terms of the effort FAUL has made to attain them during these past twenty-six months.

I. *To develop coordinated acquisitions policies*
...the Acquisitions Committee report...mechanized book purchase proposal...PL480 transfer...study by M. Wilden-Hart...shared book purchasing...

...The Acquisitions Committee was given these areas of investigation in its charge as stated above. After a year's work the Committee submitted its report to the Board in April 1969 entitled: *Joint Acquisitions Policy: Subject List Arranged by the Library of Congress Classification System (Draft).* The report contained a list of LC subject categories and next to each category each library indicated its "level of collecting intensity" at that moment in time. No record has been kept of local acquisitions policy changes as a result of this exercise, therefore no measure of its effectiveness can be reported accurately.

...A proposal to test a machine-based book ordering procedure whereby machine-readable data would be supplied by vendors to the member libraries was forwarded to the Committee for consideration. Because of the "selection" orientation of the group (as opposed to "technical" orientation), and other events noted below, the proposal was not considered by the Committee and remains dormant. The Committee was disbanded in April 1969 because the problem of coordinated acquisitions development appeared to the Board to be too time-consuming and too closely tied to the vagaries of curricular changes and research programs at each institution.

...Incidental to the work of the Acquisitions Committee was the implementation of an arrangement to transport all Public Law 480 materials in Arabic from Syracuse to SUNY-Binghamton for cataloging and housing because of the latter's strength and the former's weakness in academic programming in this area.

...Two additional events occurred which are directly attributable to FAUL effort. First, Miss Marion Wilden-Hart of the Research and Planning group of Syracuse University's library has been awarded a two-month FAUL contract to review acquisitions activity in FAUL libraries and then to recommend a plan for coordinating resource development. This report is due in September 1970.

...Second, the University of Rochester library has responded to an idea originating at SUNY-Binghamton. The Assistant Director for Public Services at Rochester called the acquisition heads at the other FAUL libraries offering to share costs of purchasing a particularly expensive item with no conditions placed upon the location of the purchased item. In return Rochester wanted a unit catalog card and the right to request the item on interlibrary loan. Final arrangements have not been completed, but if successful the precedent should contribute to further development of the idea. It is interesting to note here that one member of the group seized upon an idea initiated by another.

...In any event, interest in sharing acquisitions for the purpose of reducing costs of duplication seems to be re-awakening. The experience so far, however, has been that good ideas die quickly if they are not taken seriously by at least two libraries in the membership. The next step is to await the evaluation of the Wilden-Hart report and to perservere in attempting to share the costs of acquiring relatively expensive but non-critical items.

II. *To develop means for sharing resources*

...resources defined...meetings...assumption about change... staff visitation program...personnel directory...in-person borrowing privileges...user handbook...photocopy agreement ...resources survey...manuscripts union catalog...short title catalog of 18th Century British imprints...

...In this context "resources" include people's ideas, the work they do, and the materials and facilities which they use.

...In the sense that useful experiences and ideas are shared by the staffs of the member libraries during mutual visits and meetings, FAUL has indeed committed itself to maximize these opportunities. Since April 1968, over 3300 man-hours have been devoted to meetings of library staff members; this figure does not include preparation time or other informal visits. It is the equivalent of over 1.5 man-years expended in a little over two calendar

years. Very little has been done to measure either the efficiency of the meetings or their effect within the member libraries. Presumably, a series of imperceptible changes are continually occurring, which in the long run do make the member libraries "fit" better together. In general, the assumption operating here has been the "more that people with similar professional interests communicate, the greater the chances for stimulating and infusing good ideas and practices among them." By corollary, the chances for maintaining poor practices are thereby decreased. A counter-assumption could say that a mutual defense pact against change would develop. There is in FAUL a tendency for both assumptions to operate under varying conditions.

...The most interesting example of resource-sharing in FAUL to date has been the Staff Visitation Program. Over a span of six months, each library has invited staff members from its sister libraries to spend 1-1/2 days examining the facilities and procedures and talking with their counterparts about common problems. The final visitation in this current series will take place on June 18-19, 1970 at SUNY-Binghamton. The series deals mainly with the transfer of experience and procedures about circulation services. A report of the FAUL Access Committee will indicate that this activity has been of great personal value to the participants and there is strong feeling that the technique should be continued for other groups as travel funds and staff loads permit.

...There are three other activities which also give support to the attainment of this objective. The first is the publication of the *Directory of Personnel in the Five Associated University Libraries and Computing Centers*. This directory lists about 85 professionals from FAUL universities, gives title, address, telephone number and participation in FAUL committees or projects. A proposal before the Board, developed by the Access Committee, recommends the expansion of this directory to include language and special subject competencies of library staff members thereby widening the potential application of rare and unusual skills throughout the Association.

...In order to increase the ease of access by faculty and students to each member library, two agreements have been made relating to in-person borrowing privileges (IPBP). In April 1968, IPBP were offered to faculty members. This agreement meant that any faculty member could borrow circulatable items from any FAUL library merely by showing his ID card at a FAUL library. Since that announcement was made few statistics have been kept to measure its effect. Cornell does maintain a record of books borrowed by outside institutions and FAUL borrowers of Cornell resources. Exclusive of interlibrary loan, 158 faculty members and 360 students borrowed 2400 items during FY 1968-69. Figures for the current year are not yet complete, nor can we assign causes to increases in this activity. This kind of monitoring would be greatly facilitated by the adoption of reasonably compatible computer-based circulation control systems through FAUL.

In January 1970, similar privileges were announced for doctoral candidates. Authorization cards are issued by the home library after clearance by designated library staff members. Monthly reports are made to the Access Committee and problems are cleared up handily. Recent figures suggest the following summary statement, projected over one year at current activity rates: all FAUL libraries will issue about 275 IPBP cards this year to students who would not have received permission before. The principal flow has been from Syracuse to Cornell (76%); Cornell has not been asked by candidates to issue any so far this year.

Two statements recommending continued expansion of these privileges have been adopted by the Access Committee and will be forwarded to the Board in that group's two year report in more detail. In general, this trend should be continued as long as possible.

...In early Summer of 1969, the Access Committee began assembling data to compile a *FAUL Handbook*. The purpose of the publication is to provide basic information to aid the faculties and students of the five universities to use each other's libraries. In its final form it includes information about transportation, lodging, locations, and important telephone numbers which a user may need to know in order to use the facilities and resources of the FAUL libraries fully and efficiently. It was published and distributed to the membership in June 1970 in a run of 2500 copies.

...The Access Committee adopted this agreement about photocopies on December 16, 1969: "No charges will be made among FAUL libraries, including branches, for photocopies and associated charges relating to interlibrary loans. All interlibrary loan requests sent to Cornell which are eligible for NYSILL will continue to be so coded." So far no major difficulties have been reported.

To be effective, resource-sharing required a knowledge of what items are owned by each member; three projects were undertaken toward satisfying that requirement.

...First. In the Spring of 1969, a request for matching funds was submitted to the National Endowment for the Humanities. The purpose was to produce a monograph entitled, *Notable Research Collections in Upstate New York: Critical Descriptions*. It was to have been a one-year project and Dr. Oscar Silverman of SUNY-Buffalo was the principal investigator. The NEH would not support our request, saying that it was of limited national value. The original proposal has been forwarded to the Syracuse University Development Office for advice about other sources from which to seek funds.

...Second. Two editions of a specialized union list entitled *Manuscripts for Research* have been published. The first edition was distributed in February 1969; the second in October. Over 700 manuscript collections are included. Cornell assumed compilation, editorial and printing responsibility for the second edition, and FAUL paid out-of-pocket expenses. This series appears to have been well received by the academic community; over 7000 copies have been mailed. The responsibility for the series resides with the Special Collections Committee. Entries were composed on an IBM MT/ST, so the cost of a third edition should be minimal.

...Third. The organization is well along in the compilation of a *Short Title Catalog of 18th Century British Imprints*. The National Endowment for the Humanities has expressed interest in a draft proposal submitted this past Spring, and a full proposal will be submitted in June 1970. About 20,000 citations from the member libraries are involved, and they have already been assembled in card form at Cornell. After editing by the principal investigator, Mr. Donald Eddy, they will be converted to machine-readable form, indexed and printed. An added bonus will be a more important product, a magnetic tape containing the citations. Citations in this form can be used for quantative analysis of printers (for example) as well as for minimizing the effort of updating the file for subsequent editions. The Library

of Congress and a national Committee on an Eighteenth Century STC warmly encourage its successful compilation. Progress reports on this project are issued as needed to individuals involved in the work.

Other projects involved with identifying and publicizing holdings of FAUL libraries include the work of the Acquisitions Committee described above, and the Masfile Project described below.

III. *To develop shared storage facilities*
...talk paper...Center for Research Libraries...centralization vs decentralization....a Proposal

...One major way to share book resources is to share the costs of housing them in a central low-overhead facility and to transport them rapidly on demand to points of use. A talk paper on shared storage was written in March 1967: *Organizing a Compact Storage Collection of Library Material.* The paper was a thoughtful beginning of a pilot project which was not carried further for basically two reasons, 1) Syracuse, Rochester and Buffalo each had local off-campus storage facilities, and 2) Cornell, Rochester and Buffalo became members of the Center for Research Libraries, and Syracuse also supports a few of the Center's projects.

In the intervening months the picture has changed somewhat. Rochester has recently opened a new and spacious library and Syracuse will also in less than two years; Buffalo is opening up other facilities but still maintains a large off-campus warehouse; Cornell is beginning to plan for additional library space needed earlier than anticipated and Binghamton has moved over 40,000 volumes to the local county library because of space pressure. All but one library has uncataloged backlogs and they seem to be increasing.

...Shared storage facilities can take basically two forms: a single centralized facility, or a series of specialized facilities tied together by rapid delivery services. The first configuration does not exist in FAUL yet, since the Center for Research Libraries is designed to serve that need for seldom-used materials, and three FAUL libraries contribute support to that institution. The second configuration already exists by historical accident. Special collections in poetry, Arabic, railroad archives, Southeast Asia materials and many others have developed almost by whim and opportunity, but mostly unplanned. Where these specialized collections overlap and/or supplement each other, there appears to be fruitful grounds for investigating single-building storage and processing services.

Just such a proposal is under discussion. If the very formidable psychological and administrative barriers can be overcome, perhaps a real beginning toward establishing a central facility which could also be used for other purposes can be made.

IV. *To develop easy and rapid communications systems among the membership*
...telefacsimile...teletype...user busing...materials delivery service

Communication theory suggests that a message, sender, a channel, and a receiver are the basic components of any communication system. The direction is reversable and some monitoring component must be included in order to main-

tain system operation. In FAUL responsibility of intra-FAUL communication has been in the Access Committee. In this connection the Committee has been concerned with the transport of 1) documents, and 2) people, and 3) verbal messages from one library to another.

...In line with the New York State Library's study of telefacsimile devices* the FAUL Central Staff also concluded that the process would be too expensive for administrative communications between the Coordinator's office and the FAUL Systems group at SUNY-Buffalo. It was assumed that a large quantity of graphic and tabular data would pass through such a system, but in some cases it would be cheaper to fly because of the quantity of paper involved in short bursts. Until equipment and procedures are developed which will allow books and micro-images to be transmitted legibly and at a reasonable rate, FAUL will not investigate this technology further. It should be noted that Syracuse University Library does use such a system successfully between its main building and a warehouse about two miles from campus.

...Since all FAUL libraries have teletype equipment, the following resolution was adopted in December 1969: "that teletype machines be used for reference services as well as for interlibrary loan queries among FAUL libraries." Since the committee structure of FAUL will be changed during the Summer of 1970, follow-up on this resolution and other cooperative reference services has been deferred until the reference librarians have a chance to study the problem.

...As part of its study of inter-institutional transportation, the Access Committee also looked at busing faculty members and students between the campuses. An *ad hoc* test between Binghamton and Cornell, a relatively heavy use corridor, revealed that little demand existed. This test was not preceded by publicity nor was Cornell aware of it until it was concluded. A recommendation by the Committee that a similar but better controlled test be run between SUNY-Buffalo and Rochester has not been implemented.

...The major activity concerned with the attainment of this objective is the FAUL Library Delivery Service Pilot study. The Access Committee, with Board approval, instituted a two-phase study designed to discover the most appropriate way to move books and other materials between the member libraries. The first phase consisted of identifying nine modes of transport ranging from helicopter service through a FAUL station-wagon fleet and common carriers. The second phase resulted in a test of United Parcel Service while simultaneously gathering data on times, loads and costs of such transport compared with alternate modes. Preliminary observations indicate that speed of transport is not of very much concern to either the librarians or users; that most of the delay occurs *within* the libraries--not between them; that U. S. Mail though unpredictable is the cheapest mode considering the low volume of materials now moving between FAUL members. From January through April, 705 packages passed through the system--equivalent to about 2115 packages per year. This figure is about 2/3 the quantity passing through the Rochester 3R's system in one month. This phase will be completed on July 1, 1970 and a report will be distributed to the Access Committee.

*Nelson Associates, Inc. *An evaluation of the New York State Library's Pilot Program in the Facsimile Transmission of Library Materials.* February, 1968.

Not surprisingly communication has been mostly by telephone, supplemented by day-long conferences of appropriate individuals. Because of its central location and ready availability to transportation arteries, committees have generally met at Hancock Airport in Syracuse. Because of noise and air pollution however, other quarters are also being used.

V. *To develop compatible machine systems*
...Systems Committee...Masfile experiment series...
MARC Processing...circulation system compatibility...
systems team

...Responsibility for pursuing this objective has rested largely with the FAUL Systems Committee. Since there has been no attempt to force adoption of particular machine systems for any purpose, standardization of a "FAUL system design" has not been accomplished in any significant way. There has been, however, one area which the Systems Committee has been able to develop to a significant degree: the development of a central file of bibliographic records in machine-readable form. This effort is called the Masfile Project. The principle working group has been the Masfile Input Group (MIG) a task group of catalogers monitored by the Systems Committee.

...The Masfile Project has been conceived as a long-ranged series of experiments designed to produce a centralized data base composed of records selected from each library and from the MARC tapes distributed by the Library of Congress. So far two phases, Masfile I and II, have been completed. Masfile-I resulted in a final report, * a report of an on-line editing experiment, and a 365 page bound printout of the file arranged alphabetically by author, indexed by LC class number, LC card number and title. The printout was also produced in microfiche form by a Kodak KOM-90 Computer-Output Microfilm machine by Xerox Copy Services in Rochester. Most of the computer work was done by subcontract and the on-line experiment was completed and reported by the Research and Planning Group at Syracuse University Library.

The next phase, Masfile-II was built upon the first phase and is not yet completed. A single printout has been produced in both paper and microfiche, but the accompanying report has not been completed by the now defunct contractor, the Technical Information Dissemination Bureau at SUNY-Buffalo. Some kind of report has been promised by the contractor for several months. Hopefully, something can be salvaged during June 1970. Since that report is not yet done, the Systems Committee cannot really judge what Masfile-II should be at this time. The cost of this effort in contract expenses has been about $25,000 including that part of the experiment conducted by Syracuse.

Recently, members of the Board and the Systems Committee have been raising questions about the utility of the Masfile series and correctly so. In order to alleviate the uncertainty a rather elaborate set of questions relating to long and short-range planning were processed through each FAUL committee in a series of "rounds" built upon a procedure described by Olaf Helmer ** known as the Delphi Technique. In general the weighted consensus favored the development of a method to query the holdings of each library for interlibrary

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* See publications list on page 18 of this report.

** Olaf Helmer. *Social Technology*. Basic Books, 1966

loan purposes. These and other recommendations will be articulated in the Masfile-II report to be published in the Summer 1970.

...Another area which FAUL has chosen to work in is the processing of weekly MARC tapes distributed by the Library of Congress. Software has been written, debugged and implemented which will convert the incoming tape codes to IBM 360 coding (ASCII to EBCDIC), merge new records with those already in the file, produce LC card number indexes, and duplicate tapes. This action was accomplished by the Technical Information Dissemination (TIDB) at SUNY-Buffalo under contract to FAUL. Originally the weekly tapes were processed monthly and distributed to each member library. After noting that no library had plans for using them, the secondary distribution was terminated. Upon learning of the de-activation of the TIDB, the processing center was moved to Syracuse and is now being tuned up on the local IBM service bureau machine.

The MARC tapes have been used in the Masfile experiments to extract selected records and merge them with other records in the Masfile data base. It is expected that the MARC Processing Center and the Masfile-III project will merge under a new contractor; a contractor yet to be selected to do work yet to be defined.

...In the Spring of 1969, the time was propitious for many FAUL libraries to seek ways to either up-grade their current mechanized circulation control systems or begin studies to implement a first one. The chore to begin studying this opportunity fell to the Access Committee. Accordingly, Cornell invited all FAUL libraries to participate in a rather extensive systems study of circulation procedures. At first no one responded, then Rochester came in, and finally Buffalo sent an observer. Binghamton and Syracuse did not participate because the former was busily upgrading its IBM 357 system to an IBM 1030 system, and Syracuse wanted to experiment with parts of a Binghamton-type system.

With this uncertainty, one assumption was made by the Coordinator and the Access Committee: that at least three libraries would eventually adopt a 1030-like system (Binghamton - Syracuse - Buffalo). The first level of compatibility seemed to be in coding user ID cards, since no agreement was possible on book cards. Accordingly, a 12 digit code was adopted for Hollerith punching into plastic ID cards. Syracuse immediately went about the task of using that code. As of this date, no one else has done so. The outcome of the Cornell-Rochester feasibility study is not yet known, but Cornell does not favor the Hollerith Coding scheme for ID cards.

...Another activity relating to systems development was the building of a FAUL Systems Team. In October 1969, the directors of the five computing centers joined with the Board moderated by Joseph Becker of EDUCOM. A major recommendation emerging from that meeting was that FAUL should establish a central group of library systems analysts of the highest quality as soon as possible. Originally the group was to have been five persons under one roof in Syracuse. As it turned out it became 2 FTE's located in Buffalo in a group which was in the process of disintegration. A generous amount of supporting funds was allocated by the Board; most of it carried forward into the next fiscal year. Of the FTE's available, only one could be called a library systems analyst and he never spent more than half-time for the three months which he was assigned to the team.

The mission of the team was to analyze at a fairly high level of generality the technical processing activities in each of the five libraries. The effort has so far produced one draft report of SUNY-Buffalo's library procedures, the remainder are unfinished as of this date since no staff remains in Buffalo to complete them. Interim arrangements may produce the requisite six reports sometime in mid-Summer.

In the meantime Cornell, Buffalo, and Rochester agreed to support a central team, provided that the directors involved can agree on what work should be undertaken. Likely candidates are circulation and serials control.

Several lessons have been learned in the process of "working toward compatible machine systems." 1) national authority is needed in order for members to agree with a minimum of fuss, e.g. MARC; 2) the libraries which are more highly mechanized are least willing to move toward centralized system development or system interchange; 3) at least three members consider themselves prima donnas able to do most machine projects better than any of the other members; 4) the prima donnas are essentially competitive with each other, and 5) few if any members really want to divert significant local resources to centralized systems planning.

VI. *To explore and develop other areas of cooperation*
...fellowships...microfiche reserve rooms...incorporation...
publication analysis...legal title policy...appraisal policy
...accessibility to manuscripts...photocopying of manuscripts...
provenance of manuscripts...centralized technical services

...Other areas of investigation resulted in two draft proposals which are now out to funding agencies. The first proposal requests $71,485 over a four-year period to support three research fellowships. The FAUL contribution is 20% of the total, or $17,870 over the same period. The Fellowships are intended to stimulate research studies of inter-institutional library problems.

...The second draft proposal is quite complicated and involves the time of the Coordinator as Principal Investigator and Pauline Atherton (S. U. Library School) and Ed O'Neill (SUNY-Buffalo Library School) as Associate Principal Investigators to produce microfiche packets, machine-readable tapes and an evaluation of current reserve room activities. A preliminary cost estimate for this work is $40,000. No word has been received from USOE or CLR yet. The principal investigators and the Chairman of the Systems Committee appear to be alone in their enthusiasm for the project.

...After more than a year of work we are still not incorporated because some needed signatures are lacking on the appropriate papers.

...A detailed analysis of publications produced by FAUL libraries is under way. Recommendations for merger or making volume contracts may be ready sometime this summer.

...Five short documents relating to Special Collections policies have been distributed to Library Directors. They are a broadside attempt to produce a consistent set of policies. The titles of these documents are:

Establishing Legal Title to Gifts Made to Members of the Five Associated University Libraries

Statement of Recommended Policy Regarding Appraisals in the Five Associated University Libraries

Policy Affecting Accessibility of Manuscript Materials in the Five Associated University Libraries

Policy Affecting Photocopying of Manuscript Materials in the Five Associated University Libraries

Policy Affecting Provenance and Integrity of Manuscripts in the Five Associated University Libraries

As of this date only two libraries have endorsed them. If they are approved, they will be implemented and publicized

VII. To develop a coordinated policy for long-range growth
...talk papers...incorporation...committee restructuring ...planning committee

...A traditional method to aid planning in FAUL has been for a Board member to write a position paper. Each paper is intended to bring to light salient factors relating to a particular interest of FAUL. By a process of refinement an action program is sometimes defined. A recent paper entitled *Talk Paper on FAUL Program and Budget Projections*, was distributed to the library directors for comment and only one responded. The respondent was very much in favor of the content of the paper, but no one else picked up the lead. The interim conclusion reached by the Executive Council, (which originated the paper) was that few Board members can or want to grapple with the future 5-15 years from now because they are pre-occupied with daily crises.

...FAUL faces a quandry. The question is often asked, why don't we pick just one thing and do that? The unsatisfying response is always, "which one thing?" The Board has no real planning mechanism and FAUL has relatively low priority in most people's minds. Guilt more than anything else produces any action at all. A comparatively simple act such as incorporation--accomplished so easily within the 3R's Councils to which each library belongs --still has not been resolved in FAUL.

...To promote planning a move to restructure some committees and to establish a planning committee is being made. The Systems Committee and the Access Committee will be renamed and reconstituted as the Technical Services Committee and User Services Committee respectively. Their missions have been tuned up and the highest level staff members are to be included in them. The establishment of a planning committee will be more difficult, since much of this is done by the directors themselves now. And there is great reluctance to engage any more staff in FAUL activities now.

THE FUTURE

About thirty-six projects or activities have been mentioned in this report. Three have been completed, three tabled and three dropped. The remaining twenty-seven are either continuous or in various stages of completion. Six of them are in the proposal stage, either before committees, the Board or funding agencies. This load may appear heavy, but relatively few library staff members are engaged in any of them at any one time and most of them can probably be continued without much staff strain.

The acquisition of a Technical Processing Consultant, will probably result in a great deal more being asked of staff members' time in that area. I expect too that public service people will become more deeply involved in FAUL than formerly with the changes in committee structure.

The acquisition of a central facility for storage, computer processing or message switching seems further off than a year ago. Tight money, lack of commitment and increasingly deeper entrenchment in local computer systems, and a competitive spirit inhibit it.

Cooperative acts which are dependent upon the agreement of counterparts within each library are crippled by lack of counterparts. This situation is particularly acute in special collections activities where SUNY-Binghamton, SUNY-Buffalo and to some degree Rochester have been uncertain. In such situations, committee work tends to be dominated by the larger institutions. The cycle of rechecking between unauthorized representatives and the decision makers is an endless exercise in futility. A radical solution (but a cooperative one) would be to combine departments of libraries under a single strong head, effectively creating a branch department of one library at a second FAUL library. To assert that member libraries can afford to become more independent than they are now is reactionary, and counter to a major reason for FAUL's existence: sharing resources.

Fiscal year 1970-71 will be decisive for FAUL. The organization has been groping for an identity and it must continue this difficult and frustrating process for months to come. Embedded in this procedure is a continual testing of the limits which cooperative acts can reach and a concommitant gradual delination of what each library's objectives are in joining together. But very soon IT -- as a group -- must decide which future FAUL will become 3-10 years from now. Otherwise the grope, the vague discontent will continue and no one will be satisfied.

FINANCIAL REPORT OF THE FIVE ASSOCIATED UNIVERSITY LIBRARIES
January 1, 1967 - June 30, 1970

INCOME

Assessment for FY 67 - 68 (Sept. - Aug.)[1/]	30,000
Assessment for FY 68 - 69 (Jul. - Jun.)	40,000
Assessment for FY 69 - 70 (Jul. - Jun.)	50,000
Supplemental Assessments	
Masfile II	14,350
Manuscripts for Research, No. 2	1,450
Research and Development	17,500
TOTAL INCOME through June 30, 1970	153,300

EXPENDITURES[2/]

FAUL Central office operating expenditures	
FY 67 - 68	10,678
FY 68 - 69	48,780
FY 69 - 70	43,629
*Special Projects and Expenses**	
Masfile II	14,200
Manuscripts for Research, No. 2	1,450
FAUL MARC Processing Center	11,312
MARC Subscription (through April 1971)	800
FAUL Delivery Service (Pilot)	1,079
FAUL Handbook	1,436
Systems Study Contract (R&D)	3,500
Balance carried forward to FY 1970 - 71	16,437
TOTAL EXPENDITURES	153,300

1/ Beginning month of fiscal year was changed from September to July by Board action in order to bring the FAUL fiscal year in line with those of member libraries.

2/ All figures are rounded to the nearest dollar.

*N.B. Because of the closing of the Technical Information Dissemination Bureau at SUNY-Buffalo, the work of the three experimental contracts, FAUL MARC Processing Center, Masfile II and the Technical Services Systems study had to be curtailed, relocated or rescheduled.

COMMITTEES

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Masfile Input Group (Ad hoc)

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Miss Elaine Walker, Cornell

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PUBLICATIONS

An Experimental Holdings List of Selected Research Monographs in the Five Associated University Libraries. Book Trade and Library Science. January, 1969. (Companion volume to the Masfile-I Pilot Project, q.v.).

FAUL Directory of Key Personnel. 3 issues.

FAUL Handbook. June 1970.

FAUL Newsletter. 6 issues, irregular.

Joint Acquisitions Policy: Subject List Arranged by the Library of Congress Classification System. Draft, April 1969.

Manuscripts for Research. (Cornell University and Syracuse University), February 1969.

Manuscripts for Research. (Five Associated University Libraries), October 1969.

Masfile-I Pilot Project. Final Report. FAUL Systems Committee and Masfile Input Group. April 11, 1969.

Searching and Editing Bibliographic Records Using the IBM Administrative Terminal System (ATS), by Linda Webb, James Turner. FAUL Technical Memorandum FTM 70-1. May 1970.

Status Report. Issued monthly since September 1969.